



The State of Connecticut
Department of Economic and Community Development
Compliance Office and Planning/Program Support

Request for Proposal

Investigative Research

Deadline For Submission: Wednesday July 21, 2004

REQUEST FOR PROPOSAL

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I. STATEMENT OF OBJECTIVES

The State of Connecticut Department of Economic and Community Development (DECD) is seeking proposals from qualified individuals, for profit or non-profit organizations. Under this Request for Proposal (RFP), one or more firms to conduct a variety of investigate research into companies and/or principles of companies seeking financial assistance from DECD. In addition, DECD reserves the right to not make any awards under this RFP.

II. AWARD CRITERIA

All proposals will be evaluated using the following criteria:

1. Narrative (10%)
2. Capacity (25%)
3. Timeliness to Complete Work (25%)
4. Proposed Fees (35%)
5. Minority/Women Owned Business (5%)

III. EVALUATION PROCESS

A screening committee consisting of representatives from the Department will review all proposals received. If at least three qualified proposals are received, the screening committee shall rate and rank the proposals submitted based on the weighted award criteria noted above. The screening committee shall create a ranked list using the point value and provide the names of the top three proposers to the Commissioner for consideration. The Commissioner shall decide which contractor receives the contract.

The Commissioner will consider proposals that address the entire Scope of Work but require more than one subcontractor and separate contracts to accomplish the entire Scope of Work. Justification for a separation of duties and the proposed contractual relationships must be detailed. Any such submission shall be evaluated based on the benefit to the Department and the State of Connecticut on a pass/fail basis. This determination of pass/fail will be at the sole discretion of the Commissioner, and is not subject to appeal.

IV. SCOPE OF WORK

The Connecticut Department of Economic and Community Development (DECD) is requesting price quotations from consultants to provide due diligence investigative services for specific requests made by DECD. These services will include general overview of the subject, litigation, bankruptcy, media investigation, asset searches, UCC filings liens as well as other related topics for both individuals and businesses.

VI. PROPOSAL FORMAT

Proposals should be submitted as follows:

1. One (1) complete original clearly marked "ORIGINAL", with all required exhibits having original signatures, where applicable;
2. Three (3) copies, with all required exhibits; and
3. All materials must be bound (3 ring binders, etc.) and tabbed by section and placed in the same order as they appear in the proposal. Each tabbed section must include all relevant materials for that section, including proposal exhibits.

VII. LETTER OF INTENT

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Potential proposers must file a Letter of Intent to apply with DECD by 4:00 p.m., local time, on Monday, July 12, 2004. At a minimum, this Letter of Intent should identify the Individual or Company, the primary contact for the Individual/Company, including mailing address, telephone number and email address. This Letter of Intent will be used to gauge potential interest, and may be used for contacts for the purpose of clarifying the information provided in the proposal. Failure to submit a Letter of Intent may be considered grounds for disqualification. Letters of Intent should be directed in writing to the following address:

Michael Lettieri
Community Development Director
Department of Economic and Community Development
Compliance Office and Planning/Program Support
505 Hudson Street
Hartford, CT 06106-7106

Letters of Intent may also be faxed to 860-270-8200 preceded, by a call to Mr. Lettieri at (860) 270-8128, or by e-mail at michael.lettieri@po.state.ct.us.

VIII. INSTRUCTIONS

1. Completed proposals and all materials should be delivered or mailed to address shown above. **All proposals must be received at DECD on or before 4:00 p.m. on Wednesday, July 21, 2004.**
2. All responses to this **Request for Proposal** must conform to these instructions. Failure to conform may be considered appropriate cause for rejection of the response.
3. An individual authorized to act on behalf of the proposer must submit the proposal. The proposal must also provide the name, title, address and telephone number for individuals authorized to negotiate and contractually bind the individual/company, and for those who may be contacted for the purpose of clarifying the information provided in the proposal. This information should also be included in the transmittal letter.
4. Proposers may be required to give one (1) presentation.

IX. QUESTIONS

All questions related to this RFP must be submitted to Michael Lettieri in writing at the above address, by FAX at 860-270-8200, or by e-mail at michael.lettieri@po.state.ct.us no later than noon on Wednesday, July 14, 2004. Answers to all questions will be mailed directly by both regular mail and by email on or before Friday, July 16, 2004, to those firms that have submitted either questions or a Letter of Intent (See Section VII.). In addition, this information will be posted on DECD's Website for general notification at www.decd.org.

X. CONDITIONS

Any prospective contractor must be willing to adhere to the following conditions and must positively state them in the proposal:

1. **Acceptances or Rejection by the State.** The State reserves the right to accept or reject any or all proposals submitted for consideration. All Proposals will be kept sealed and safe until the date, time, and place of public opening.
2. **Conformance with Statutes.** Any contract awarded as a result of this RFP must be in full conformance with statutory requirements of the State of Connecticut and the Federal Government.

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3. **Ownership of Proposals.** All Proposals in response to this RFP are to be the sole property of the State, and subject to the provisions of Section 1-19 of the Connecticut General Statutes (Re: Freedom of Information).
4. **Ownership of Subsequent Products.** Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of this RFP is to be sole property of the State unless stated otherwise in the RFP or contract.
5. **Timing and Sequence.** Timing and sequence of events resulting from this RFP will ultimately be determined by the State.
6. **Stability of Proposed Prices.** Any price offerings must be valid for a period of 90 days from the due date of the Proposals.
7. **Oral Agreements.** Any alleged oral agreement or arrangement made by a subcontractor with any department or employee will be superseded by the written agreement.
8. **Amending or Canceling Requests.** The State reserves the right to amend or cancel this RFP, prior to the due date and time, if it is in the best interests of the department and the State.
9. **Rejection for Default or Misrepresentation.** The State reserves the right to reject the proposal of any subcontractor that is in the default of any prior contract or for misrepresentation.
10. **State's Clerical Errors in Awards.** The State reserves the right to correct inaccurate awards resulting from its clerical errors.
11. **Rejection of Qualified Proposals.** Proposals are subject to rejection in whole or in part if they limit or modify any of the terms and conditions and/or specifications of the RFP.
12. **Presentation of Supporting Evidence.** Any individual/company, if requested, must be prepared to present evidence of experience, ability, service facilities, and financial standing necessary to satisfactorily meet the requirements set forth or implied in the proposal.
13. **Changes to Proposal.** No additions or changes to the original proposal will be allowed after submittal. While changes are not permitted, clarification at the request of the department may be required at the subcontractor's expense.
14. **Collusion.** By responding, the proposer implicitly states that the proposal is not made in connection with any competing proposer submitting a separate response to the RFP, and is in all respects fair and without collusion or fraud. It is further implied that the proposer did not participate in the RFP development process, had no knowledge of the specific contents of the RFP prior to its issuance, and that no employee of the department participated directly or indirectly in the proposer's proposal preparation.
15. **Contract Provisions.** Agree to State contract requirements. See sample State contractual provisions, Exhibit A.
16. **EEO-4 Form.** The proposal shall include a copy of the company's latest EEO-4 report as well as a copy the proposer's equal employment policy statement.

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XI. RIGHTS RESERVED BY THE STATE

The Department reserves the right to discontinue, modify, suspend, or amend this proposal and the program, at any time, with or without further notice to any interested party. All costs incurred in the preparation of the proposal are the sole responsibility of the proposer. Materials submitted will become the property of the Department and will not be returned.

All decisions of the Department are subject to such additional conditions, restrictions, and requirements as determined by the Department in its sole discretion to best achieve our objectives.

XII. PROPOSAL SUBMISSION/CONTACT INFORMATION

Any proposal received after the established deadline shall not be considered. All proposals should be addressed as follows:

Mr. Michael Lettieri
Department of Economic and Community Development
Attention: RFP for Investigative Research
Compliance Office and Planning/Program Support
505 Hudson Street
Hartford, CT 06106-7106

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PROPOSER INFORMATION

Name: _____

Address: _____

Zip Code: _____

Contact Person: _____

Title: _____

Telephone Number: _____

Fax Number: _____

E-Mail Address: _____

Website Address: _____

FEIN No: _____ SSN (if individual): ____-____-____

State Sales Tax No: _____

If you are using a **THIRD PARTY** to write this proposal, please provide the following:

Consultant Name: _____

Company (if applicable): _____

Address: _____

Phone Number: _____ Fax Number: _____

E-Mail Address: _____ Website Address: _____

NARRATIVE DESCRIPTION OF ACTIVITY

2.1. Provide up to a 2-page description of the proposed activity. **Attach as Exhibit 2.1.**

CAPACITY

- 3.1. Describe the nature of your organization, staffing and overall qualifications to perform and complete this Scope of Work. **Attach as Exhibit 3.1.**
- 3.2. Please identify any past experience your organization has in providing this service, including a description of the service, timeframe in which the services was completed, special skills associated with providing this service and any other relevant information. **Attach as Exhibit 3.2.**
- 3.3. Please provide a list of individuals or companies where you have provided similar services over the last 5 years. **Attach as Exhibit 3.3.**
- 3.4. Please provide signed copy of CHRO "Notification to Bidders" form and information addressing (a) through (e) on the form. **Attach as Exhibit 3.4.**
- 3.5. Please provide a copy of your Equal Employment Opportunity Policy Statement. **Attach as Exhibit 3.5.**

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3.6. Please attach the last three years' audited corporate financial statements (include notes and projections). If audited statements do not exist, attach last three years' federal tax returns. **Attach as Exhibit 3.6.**

3.7. Please attach certificate of insurance showing the current coverage. **Attach as Exhibit 3.7.**

3.8. Is the proposer a the defendant in any litigation?
☐ YES ☐ NO

If yes, indicate the nature of the litigation and the status of that litigation. **Attach as Exhibit 3.8.**

TIMELINESS TO COMPLETE WORK

4.1 Please indicate timeframes to be expected depending on the type and depth of the various investigative research. **Attach statement as Exhibit 4.1.**

PROPOSED FEES

5.1 Fee should be based on a one-year contract with two (2) one-year renewals at DECD's sole discretion. Fee may be shown as hourly rate for service or fixed price for type and depth of each investigate research. **Attach statement as Exhibit 5.1.**

MINORITY/WOMEN OWNED BUSINESS

6.1 Please indicate if your organization is a minority or women owned business by completing Exhibit B, if applicable. **Attach completed form as Exhibit 6.1.**

SUBCONTRACTOR CERTIFICATION FORM

7.1 Please complete the Subcontractor Certification form, Exhibit C, if applicable. **Attach statement as Exhibit 7.1.**

PROPOSER CERTIFICATION

It is hereby represented by the proposer (undersigned) as an inducement to DECD of Economic and Community Development to consider the proposal, that to the best of my knowledge and belief, no information or data contained in the proposal or in the attachments are in any way false or incorrect, and that no material information has been omitted, including the financial statements. The proposer (undersigned) agrees that banks, credit agencies, the Connecticut Department of Labor, the Connecticut Department of Revenue Services, and other references are hereby authorized now, or any time in the future, to give DECD of any and all information in connection with matters referred to in this proposal.

Certifying Representative:

1. Type Name and Title: _____

2. Signature: _____

3. Date: _____

EXHIBIT B (3.4)

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NOTIFICATION TO BIDDERS

The contract to be awarded is subject to contract compliance requirements mandated by Sections 4a-60 and 4a-60a of the Connecticut General Statutes; and, when the awarding agency is the State, Sections 46a-71(d) and 46a-81i(d) of the Connecticut General Statutes. There are Contract Compliance Regulations codified at Section 46a-68j-21 through 43 of the Regulations of Connecticut State Agencies, which establish a procedure for awarding all contracts covered by Sections 4a-60 and 46a-71(d) of the Connecticut General Statutes.

According to Section 46a-68j-30(9) of the Contract Compliance Regulations, every agency awarding a contract subject to the contract compliance requirements has an obligation to “aggressively solicit the participation of legitimate minority business enterprises as bidders, contractors, subcontractors and suppliers of materials.” “Minority business enterprise” is defined in Section 4a-60 of the Connecticut General Statutes as a business wherein fifty-one percent or more of the capital stock, or assets belong to a person or persons: “(1) Who are active in daily affairs of the enterprise; (2) who have the power to direct the management and policies of the enterprise; and (3) who are members of a minority, as such term is defined in subsection (a) of Section 32-9n.” “Minority” groups are defined in Section 32-9n of the Connecticut General Statutes as “(1) Black Americans . . . (2) Hispanic Americans . . . (3) persons who have origins in the Iberian Peninsula . . . (4) Women . . . (5) Asian Pacific Americans and Pacific Islanders; (6) American Indians . . .” An individual with a disability is also a minority business enterprise as provided by Section 32-9e of the Connecticut General Statutes. The above definitions apply to the contract compliance requirements by virtue of Section 46a-68j-21(11) of the Contract Compliance Regulations.

The awarding agency will consider the following factors when reviewing the bidder’s qualifications under the contract compliance requirements:

- (a) the bidder’s success in implementing an affirmative action plan;
- (b) the bidder’s success in developing an apprenticeship program complying with Sections 46a-68-1 to 46a-68-17 of the Connecticut General Statutes, inclusive;
- (c) the bidder’s promise to develop and implement a successful affirmative action plan;
- (d) the bidder’s submission of employment statistics contained in the “Employment Information Form”, indicating that the composition of its workforce is at or near parity when compared to the racial and sexual composition of the workforce in the relevant labor market area; and
- (e) the bidder’s promise to set aside a portion of the contract for legitimate minority business enterprises. See Section 46a-68j-30(10)(E) of the Contract Compliance Regulations.

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The undersigned acknowledges receiving and reading a copy of the "Notification to Bidder's form.

* INSTRUCTION: bidder must sign acknowledgement below, and return acknowledgment to DECD along with bid proposal.

Signature

Date

On behalf of:

RFP Name: _____

CERTIFICATE OF CORPORATION

I, _____, certify that I am the Secretary of the Corporation named in the foregoing instrument; that I have been duly authorized to affix the seal of the Corporation to such papers as require the seal; that _____, who signed said instrument on behalf of the Corporation was then _____ of said Corporation; that said instrument was duly signed for and in behalf of said Corporation by authority of its governing body and is within the scope of its Corporation powers.

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EXHIBIT B (6.1)

MINORITY/WOMEN-OWNED BUSINESS CERTIFICATION

Complete Legal Name of Business: _____

Headquarters

Address: _____

Town: _____ State: _____ Zip Code: _____

Mailing Address (if different) _____

Town: _____ State: _____ Zip Code: _____

Does your firm meet the following definition of a minority business enterprise (MBE)?

☐ YES

☐ NO

A minority business enterprise (MBE) is defined as: A small business with at least 51% ownership by one or more minority person(s)* who exercise operational authority over the daily affairs of the business, has the power to direct the management, policies and receives beneficial interests of the business.

* Who is considered a minority? A person(s) who is Black, Hispanic, Asian, American Indian, has origins in the Iberian Peninsula, a woman, and an individual with a disability according to the Americans with Disabilities Act - see program information for more detail.

Date Business was first established: ____/____/____ Total Number of employees _____

Type of Business (**Check only one**)

___ Sole Proprietorship

Date Established ____/____/____

___ General Partnership

Date of Partnership ____/____/____

___ Limited Liability Partnership

Date of Partnership ____/____/____

___ Corporation

Date of Incorporation ____/____/____

___ Limited Liability Company (LLC)

Date of LLC ____/____/____

Number of years company has been owned and managed by present owner: _____

Identify the Principal(s) and/or Officer(s) of the company:

Name(s) of Present Principals/Titles

% of Ownership

Please identify the category under which certification of your business enterprise as minority owned, woman-owned or owned by a person(s) with a disability select one or more of the following categories:

A minority is a person who is a citizen or lawful permanent resident of the United States and who is included in one of the following categories:

<u>Minority Category</u>	<u>Gender</u>	<u>% of Ownership</u>
<input type="checkbox"/> Black American	M / F	<input type="text"/> %
<input type="checkbox"/> Hispanic American	M / F	<input type="text"/> %
<input type="checkbox"/> Iberian Peninsula	M / F	<input type="text"/> %
<input type="checkbox"/> Asian American	M / F	<input type="text"/> %
<input type="checkbox"/> American Indians	M / F	<input type="text"/> %
<input type="checkbox"/> Individual w/ a disability	M / F	<input type="text"/> %
<input type="checkbox"/> Woman (circle below)	M / F	<input type="text"/> %

White > Black > Hispanic > Iberian Peninsula > Asian > American Indian

"The undersigned swears the forgoing statements are true and correct and including all material information necessary to identify and explain the operations of _____ as well as the ownership thereof."

Signature: _____

Title: _____

Date: _____

Corporate Seal (where appropriate)

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EXHIBIT C (7.1)

SUBCONTRACTOR CERTIFICATION

It is hereby represented by the Subcontractor (undersigned) as an inducement to the Department of Economic and Community Development to consider the participation as requested herein, that to the best of my knowledge and belief, no information or data contained in the application or in the attachments are in any way false or incorrect, and that no material information has been omitted, including the financial statements. It is also hereby stated that the undersigned will comply with all program requirements for any approved activity and that the organization and its principals are not suspended or debarred as defined in 24 CFR part 5 Subpart A of the Code of Federal Regulations. The undersigned agrees that banks, credit agencies, the Connecticut Department of Labor, the Connecticut Department of Revenue Services, the Connecticut Department of Environmental Protection, and other references are hereby authorized now, or any time in the future, to give the Department of Economic and Community Development any and all information in connection with matters referred to in this response.

Certifying Representative

Type Name and Title: _____

Signature: _____

Date: _____